

Please type a plus sign (+) inside this box →

PTO/SB/04 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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**SUPPLEMENTAL  
DECLARATION FOR UTILITY  
OR DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

	Att r n y D cket Number	UCSF-038CIP
	First Named Inventor	GERMAN, MICHAEL S.
<b>COMPLETE IF KNOWN</b>		
Application Number	09/550,302	
Group Art Unit	1632	
Examiner Name	NGUYEN, DAVE TRONG	

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**DELIVERY OF POLYPEPTIDES BY SECRETORY GLAND EXPRESSION**

*(Title of the Invention)*

the specification of which

is attached hereto

OR

was filed on (MM/DD/YYYY) **04/14/2000** as United States Application Number or PCT International

Application Number **09/550,302** and was amended on (MM/DD/YYYY) 08/28/2000, 03/22/2001, 09/19/2001 and 04/19/2002 (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-In-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES	Certified Copy Attached? NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 3]

Burden Hour Statement: This form is estimated to take 21 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/02A (11-00)

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DECLARATION--		ADDITIONAL INVENTOR(S) Supplemental Sheet Page 3 of 3	
Name of Additional Joint Inventor, if any:	<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])	Family Name or Surname		
STEPHEN S.	ROTHMAN		
Inventor's Signature			Date
Residence City: Berkeley	State: CA	Country: USA	Citizenship: USA
<b>Mailing Address:</b> 98 Acacia Ave.			
City: Berkeley	State: CA	ZIP: 94708	Country: USA
Name of Additional Joint Inventor, if any:	<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])	Family Name or Surname		
Inventor's Signature			Date
Residence City:	State:	Country:	Citizenship:
<b>Mailing Address:</b>			
City:	State:	ZIP:	Country:
Name of Additional Joint Inventor, if any:	<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle [if any])	Family Name or Surname		
Inventor's Signature			Date
Residence City:	State:	Country:	Citizenship:
<b>Mailing Address:</b>			
City:	State:	ZIP:	Country:

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PTO/SB/04 (03-01)

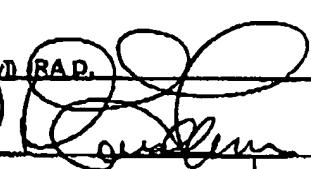
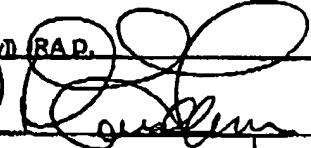
Approved for use through 10/31/2002. OMB 0551-0232

U.S. Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**DECLARATION – Utility or Design Patent Application**

Direct all correspondence to:  Customer Number **24353** OR  Correspondence address below  
 Or Bar Code Label

Name **Bozicevic, Field & Francis LLP**Address **200 Middlefield Road, Suite 200**City **Menlo Park** State **California** ZIP **94025**Country **U.S.A.** Telephone **(650) 327-3400** Fax **(650) 327-3231**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that wilful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such wilful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:  A petition has been filed for this unsigned inventorGiven Name **(First and middle (if any)) MICHAEL S.** Family Name  
Or Surname **GERMAN**Inventor's Signature  Date **12-11-02**Residence: City **Daly City** State **California** Country **Daly City** Citizenship **USA**Mailing Address **343 Glenwood Avenue**City **Daly City** State **California** ZIP **94109** Country **USA**NAME OF SECOND INVENTOR:  A petition has been filed for this unsigned inventorGiven Name **(First and middle (if any)) (R.A.D.)** Family Name  
Or Surname **GOLDFINE**Inventor's Signature  Date **12-11-02**Residence: City **Kentfield** State **California** Country **USA** Citizenship **USA**Mailing Address **640 Goodhill Rd.**City **Kentfield** State **California** ZIP **94909** Country **USA** Additional inventors are being named on the 3rd supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

Please type a plus sign (+) inside this box →

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PATENT APPLICATION  
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	Attorney Docket Number	UCSF-038CIP
	First Named Inventor	GERMAN, MICHAEL S.
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	Application Number	09/550,302
	Group Art Unit	1632
	Examiner Name	NGUYEN, DAVE TRONG

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Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	YES	Certified Copy Attached? NO
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			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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[Page 1 of 3]

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## DECLARATION – Utility or Design Patent Application

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Or Bar Code Label

Name **Bozicevic, Field & Francis LLP**

Address **200 Middlefield Road, Suite 200**

City **Menlo Park** State **California** ZIP **94025**

Country **U.S.A.** Telephone **(650) 327-3400** Fax **(650) 327-3231**

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

NAME OF SOLE OR FIRST INVENTOR:  A petition has been filed for this unsigned inventor

Given Name **(first and middle [if any]) MICHAEL S.** Family Name  
Or Surname **GERMAN**

Inventor's Signature  Date **8/20/02**

Residence: City **Daly City** State **California** Country **Daly City** Citizenship **USA**

Mailing Address **343 Glenwood Avenue**

City **Daly City** State **California** ZIP **94109** Country **USA**

NAME OF SECOND INVENTOR:  A petition has been filed for this unsigned inventor

Given Name **(first and middle [if any]) IRA D.** Family Name  
Or Surname **GOLDFINE**

Inventor's Signature Date

Residence: City **Kentfield** State **California** Country **USA** Citizenship **USA**

Mailing Address **640 Goodhill Rd.**

City **Kentfield** State **California** ZIP **94909** Country **USA**

Additional inventors are being named on the 3rd supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto

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Given Name (first and middle [if any])	Family Name or Surname		
STEPHEN S.	ROTHMAN		
Inventor's Signature			Date 9/4/02
Residence City: Berkeley	State: CA	Country: USA	Citizenship: USA
Mailing Address: 98 Acacia Ave.			
City: Berkeley	State: CA	ZIP: 94708	Country: USA
Name of Additional Joint Inventor, if any:	<input type="checkbox"/> A petition has been filed for this unsigned inventor		
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Inventor's Signature			Date
Residence City:	State:	Country:	Citizenship:
Mailing Address:			
City:	State:	ZIP:	Country:
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**REVOCATION OF POWER OF ATTORNEY OR AUTHORIZATION OF AGENT**

Application Number	10/172,388
Filing Date	June 14, 2002
First Name & Inventor	Michael S. German, et al.
Art Unit	1632
Examiner Name	
Attorney Docket Number	023070-138121US/UC SF97-039-8

I hereby revoke all previous powers of attorney or authorizations of agent given in the above-identified application:

A Power of Attorney or Authorization of Agent is submitted herewith.

**OR**

Please change the correspondence address for the above-identified application to:

Customer Number



**OR**

Firm or Individual Name

Address

Address

City

Country

State

ZIP

Telephone

Fax

I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.  
*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)*

**SIGNATURE of Applicant or Assignee of Record**

Name	Susan Nakashima		
------	-----------------	--	--

Signature			
-----------	--	--	--

Date	June 24, 2003	Telephone	415-514-9636
------	---------------	-----------	--------------

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required; see below\*.

\*Total of \_\_\_\_\_ forms are submitted.

This collection of information is required by 37 CFR 1.36. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

<b>Application Number</b>	10/172,388
<b>Filing Date</b>	June 14, 2002
<b>First Named Inventor</b>	Michael S. German et al.
<b>Title</b>	Delivery Of Polypeptides By ...
<b>Art Unit</b>	1632
<b>Examiner Name</b>	
<b>Attorney Docket Number</b>	02307O-138121US/UC SF97-039-8

I hereby appoint:

Practitioners at Customer Number

OR

Practitioner(s) named below:

Name	Registration Number

20350

PATENT TRADEMARK OFFICE

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

The above-mentioned Customer Number.

OR

Practitioners at Customer Number

--	--

<input type="checkbox"/> Firm or Individual Name			
Address			
Address			
City		State	ZIP
Country			
Telephone		Fax	

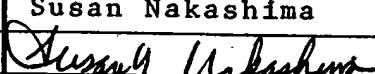
I am the:

Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.

*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).*

### SIGNATURE of Applicant or Assignee of Record

Name	Susan Nakashima		
Signature			
Date	July 04, 2003	Telephone	415-514-9636
NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.			
<input type="checkbox"/> *Total of _____ forms are submitted.			

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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### STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: The Regents of the University of California

Application No./Patent No.: 10/172,388

Filed/Issue Date: June 14, 2002

Entitled: Delivery Of Polypeptides By Secretory Gland Expression

The Regents of the University of California, a California corporation - University  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1.  the assignee of the entire right, title, and interest; or
2.  an assignee of less than the entire right, title and interest.

The extent (by, percentage) of its ownership interest is       %  
in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 013017, Frames 0657-0661, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_

The document was recorded in the United States Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

June 24, 2003

Date

415-514-9636

Telephone number

Susan Nakashima

Typed or printed name

Signature

Business Manager

Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450.

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<b>ASSIGNMENT OF APPLICATION</b>  Address to: Box Assignment Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket	UCSF-038CIP
	First Named Inventor	German, et al.
	Application Number	09/550,302
	Filing Date	April 14, 2000
	Group Art Unit	N/A
	Examiner Name	N/A
Title: Delivery of Polypeptides by Secretory Gland Expression		

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. Michael S. German

2. Ira D. Goldfine

3. Stephen S. Rothman

hereby sell, assign and transfer to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, California 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

**Delivery of Polypeptides by Secretory Gland Expression**

and which is found in

(c) U.S. Application Serial No. 09/550,302, filed April 14, 2000

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC III (a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant that no assignment sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

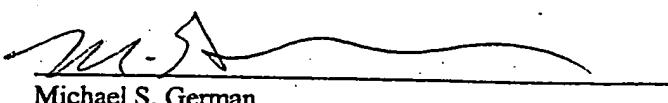
ASSIGNOR(S) further covenant that ASSIGNEE will, upon its request be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

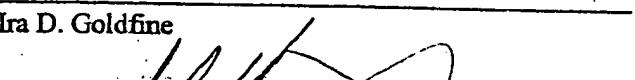
Signature of Inventor(s)

13 day of July, 2000



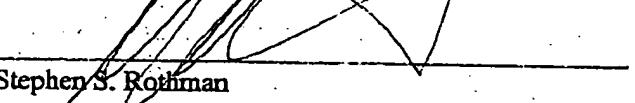
Michael S. German

day of           , 2000



Ira D. Goldfine

13 day of July, 2000



Stephen S. Rothman

<b>ASSIGNMENT OF APPLICATION</b>  Address to: Box Assignment Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket	UCSF-038CIP
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- 2. Ira D. Goldfine
- 3. Stephen S. Rothman

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**Delivery of Polypeptides by Secretory Gland Expression**

and which is found in

(c) U.S. Application Serial No. 09/550,302, filed April 14, 2000

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC III (a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant that no assignment sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant that ASSIGNEE will, upon its request be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

\_\_\_\_ day of \_\_\_\_\_, 2000

Michael S. German



Ira D. Goldfine

17 day of August, 2000

\_\_\_\_ day of \_\_\_\_\_, 2000

Stephen S. Rothman